

MEMORANDUM OF UNDERSTANDING

BETWEEN

**THE FEDERAL BUREAU OF INVESTIGATION
CRIMINAL JUSTICE INFORMATION SERVICES DIVISION**

AND

THE ARIZONA DEPARTMENT OF TRANSPORTATION

**CONCERNING THE SEARCH OF FBI PHOTOS AGAINST THE
ARIZONA DEPARTMENT OF TRANSPORTATION, ENFORCEMENT AND COMPLIANCE DIVISION,
OFFICE OF INSPECTOR GENERAL FACIAL RECOGNITION DATABASE**

I. PURPOSE

The purpose of this Memorandum of Understanding (MOU) is to document the agreed upon responsibilities and functions of the Parties with respect to conducting searches of the Arizona Department of Transportation (ADOT), Enforcement and Compliance Division (ECD), Office of Inspector General (OIG) facial recognition (FR) photo database, which utilizes all photographs in the Arizona Motor Vehicle Division (MVD) database, regardless of class or type. Specific categories include: driver's license, graduated driver's license, commercial driver's license, driving permits, and state identification cards. These searches will be performed for the purpose of comparing Federal Bureau of Investigation (FBI) investigative photos against photos housed in the ADOT/ECD/OIG FR database and obtaining information that will advance active FBI investigations, apprehend wanted fugitives or known or suspected terrorists, and locate missing persons nationwide.

II. PARTIES

- A.** The FBI, Criminal Justice Information Services (CJIS) Division, Biometric Services Section (BSS), FACE Services Unit provides investigative support to FBI field offices and headquarters divisions. The CJIS Division's Assistant Director is the FBI's point of contact (POC) for this MOU. For day-to-day operations of the activities described within this MOU, the FBI POC is the FACE Services Unit's management and its Management and Program Analysts.
- B.** The ADOT's mission is to provide a safe, efficient and cost-effective transportation system. ECD/OIG conducts criminal and administrative investigations related to all facets of agency operations to include Fraudulent Documentation and Driver License Fraud, as well as providing a multitude of services to the law enforcement community throughout the nation. For purposes of this MOU, ADOT/ECD/OIG POC is the Facial Recognition Program Administrator. For day-to-day operations of the activities described by this MOU, the FACE Services Unit will contact the ADOT/ECD/OIG POC Facial Recognition Program Administrator.

III. AUTHORITIES

- A. The FBI enters into this MOU pursuant to Title 28, United States Code (U.S.C.), Sections 533 and 534; Title 28, Code of Federal Regulations, § 0.85, and 18 U.S.C. § 2721.
- B. ADOT is authorized to share driver license information with the FBI for authorized law enforcement purposes pursuant to 18 U.S.C. § 2721(b)(1); 49 C.F.R. § 384.225, and to share the personal information contained in motor vehicle records with a law enforcement agency pursuant to Arizona Revised Statutes (A.R.S.) § 28-455(C)(1). Pursuant to A.R.S. § 28-369, ADOT employs regular peace officers under Arizona law, with like authority of other peace officers of the State of Arizona. This MOU with the FBI is in furtherance of those law enforcement powers and the sharing of certain information under 18 U.S.C. § 2721(b)(1) and 49 C.F.R. § 384.225(e)(2).

IV. BACKGROUND INFORMATION

The FACE Services Unit provides a face recognition service in which authorized FBI personnel submit a photo (probe) of a subject of interest in an active FBI investigation. These probe photos are searched against databases authorized for use by the FBI, which results in a photo gallery of potential matches (candidates). The FACE Services Unit performs comparisons of candidate photos against the probe photo to determine a candidate's value as an investigative lead. If a most-likely candidate is found, it is provided to the requesting FBI personnel. This service does not provide positive identification, but rather, an investigative lead and analysis to support that lead.

Under the terms of this MOU, the ADOT/ECD/OIG will search the FBI-submitted probe against the ADOT/ECD/OIG FR database, and candidates produced as a result of the search will be sent by ADOT/ECD/OIG to the FBI FACE Services Unit. The number of candidates provided to the FACE Services Unit is dependent upon the searching threshold set by the ADOT/ECD/OIG.

V. SPECIFIC RESPONSIBILITIES

A. The FBI will:

- 1. Submit probe photos via Law Enforcement Online (LEO)-to-LEO e-mail to the ADOT/ECD/OIG for the purpose of comparing the probe photos with photos in the ADOT/ECD/OIG FR database. The LEO is accredited and approved by the FBI for Sensitive-but-Unclassified law enforcement information.
- 2. Manually analyze, compare, and evaluate the returned candidate photo gallery against the probe photo to determine the existence of a most-likely candidate.
- 3. Request additional biographical information associated with each photo in ADOT's possession determined to be a most-likely candidate via a secure email communication according to the requirements of ADOT/ECD/OIG.
- 4. Submit the photo(s) of any most-likely candidate(s) to be searched against the FBI's Next Generation Identification Interstate Photo System in order to locate any additional photos and associated arrest information relating to the most-likely

candidate(s) and/or identify additional potential candidates. The results of this search will be compared and analyzed against the original probe photo(s). Once the analysis is complete, the most-likely candidate photo(s), along with any associated information, will be provided to the requesting FBI personnel as an investigative lead.

5. Store photo images and information associated with any most-likely candidate(s) in the FBI case management system for record keeping purposes.
6. Immediately destroy all other photos and information not associated with a most-likely candidate.

B. The ADOT/ECD/OIG will:

1. Apply for a LEO e-mail account through the LEO Operations Unit.
2. Search FACE Services Unit-submitted probe photos against the ADOT/ECD/OIG FR database. ADOT/ECD/OIG will process up to twenty (20) requests per week. Any additional requests will be addressed on a case by case basis. The number of face recognition requests per week will be reviewed periodically and may be adjusted as necessary in writing to meet the needs of both parties.
3. Return electronic photos and DL/ID card number of all candidates meeting the ADOT/ECD/OIG threshold to the FBI FACE Services Unit via LEO e-mail in a timely and prompt manner.
4. Upon request, return additional biographical information associated with each photo determined by the FBI FACE Services Unit to be a most-likely candidate.
5. Ensure that only authorized ADOT/ECD/OIG personnel will handle requests submitted by the FBI. Authorized ADOT/ECD/OIG personnel refers to personnel who are currently trained to perform FR queries against the ADOT/ECD/OIG FR database for law enforcement purposes. Names of these predetermined personnel will be submitted to the FACE Services Unit for the purpose of establishing and maintaining communications with those ADOT/ECD/OIG personnel.

VI. PROTECTION OF FBI INFORMATION

The probe photos submitted by the FACE Services Unit constitute federal information on loan from the FBI that must be returned to the FBI upon request and which may only be utilized with the FBI's express, written consent. Federal law governing access to federal information supersedes conflicting state laws. These probe photos are exempt from disclosure under the Freedom of Information Act. To further the protection of FBI information:

- A. The probe photo images and data received from the FACE Services Unit shall not be further disseminated or used, including electronic transmission by any internal or external ADOT/ECD/OIG system, except as necessary to effectuate this agreement.

- B. No logs of FBI requests shall be kept or notations made on an individual's record or elsewhere regarding information provided to the FBI.
- C. The sharing and/or dissemination of any information associated with the FACE Services Unit's requests beyond authorized personnel is prohibited.
- D. All probe photo images and data submitted by the FACE Services Unit shall be destroyed once the search has been completed and the response has been sent to the FACE Services Unit via LEO. Probe photo images and data will not be incorporated into ADOT's database or records.
- E. Upon receipt of a request for FBI information provided under this MOU, ADOT/ECD/OIG will immediately notify the FACE Services Unit.

VII. PRIVACY AND SECURITY

- A. The information exchanged under this MOU may identify U.S. persons whose information is protected by the Privacy Act of 1974 and Driver's Privacy Protection Act of 1994. The FBI will ensure that all such information is handled lawfully pursuant to the provisions thereof. The ADOT/ECD/OIG will comply with its own state privacy laws.
- B. For purposes of this MOU, Personally Identifiable Information (PII) is defined as information which can be used to distinguish or trace an individual's identity, including any personal information which is linked or linkable to a specific individual. Examples of PII are name, social security number, date of birth, place of birth, citizenship, mother's maiden name, face images, fingerprints, and other biometrics.
- C. Each party that discloses PII is responsible for making reasonable efforts to ensure that the information disclosed is accurate, complete, timely, and relevant.
- D. Each party will immediately report to the other party each instance in which information received from the other party is used, disclosed, or accessed in an unauthorized manner (including any information losses or breaches).
- E. All transmissions of probe photos submitted by the FACE Services Unit to the ADOT/ECD/OIG and responses returned to the FACE Services Unit will be made through a LEO-to-LEO e-mail connection, once such connection is established.
- F. The ADOT/ECD/OIG will ensure user accounts and authorities granted to its personnel are maintained in a current and secure "need-to-know" status.
- G. The FACE Services Unit will use the information provided by ADOT/ECD/OIG only for authorized law enforcement purposes.
- H. Each party shall be responsible for the safeguarding of any equipment used by it to access records under this MOU, and shall limit access to authorized users and to members within each chain of command who have been properly instructed as to their duties and responsibilities under this MOU, on a need to know the information basis.

- I. Each party shall implement procedures to ensure that such equipment is located in a secure area and to prevent information, including any printed copies of records, from being viewed by individuals not authorized to use the equipment and/or not authorized to have access to this information.

VIII. EFFECT OF THIS AGREEMENT

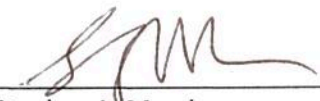
- A. This MOU is not intended, and should not be construed, to create any right or benefit, substantive or procedural, enforceable by law or otherwise against any of the parties, their parent agencies, the United States, or the officers, employees, agents, or other associated personnel thereof. The parties will seek to resolve any disputes regarding this MOU by mutual consultation.
- B. This MOU is not an obligation or commitment of funds, nor a basis for transfer of funds, but rather is a basic statement of the understanding between the parties of the matters described herein. Unless otherwise agreed upon in writing, each party shall bear its own costs in relation to this MOU. Expenditures by each party will be subject to its budgetary processes and to the availability of funds and resources pursuant to applicable laws, regulations, and policies. The parties expressly acknowledge that the language in this MOU in no way implies that funds will be made available for such expenditures.
- C. This MOU does not constitute an agreement for any party to assume or waive any liability or claim under any applicable law.
- D. This MOU does not change or limit any legal discovery obligations that otherwise apply in any particular case.
- E. Each party is responsible for ensuring that information it discloses was not knowingly obtained or maintained in violation of any law or policy applicable to the disclosing party, and that information is only made available to the receiving party as may be permitted by law, regulation, policy, or procedure applicable to the disclosing party.
- F. Each party will provide appropriate training regarding the responsibilities under this MOU to individuals whose responsibilities are covered by the provisions of this MOU.

IX. EFFECTIVE DATE, MODIFICATION, AND TERMINATION

- A. This agreement shall be effective when executed by all of the parties and will continue in effect until terminated. This agreement may be modified at any time by written consent of all parties.
- B. This MOU may be terminated, with respect to any party, at any time upon written notice of withdrawal to all other parties. Any party desiring to withdraw from this MOU will endeavor to provide such written notification to all parties at least thirty (30) days prior to withdrawal. This MOU will be reviewed annually to ensure that the terms remain current, complete, and relevant.

- C. This MOU, in nine distinct sections, is the exclusive statement of the parties with respect to its subject matter and supersedes any and all prior agreement, negotiations, representations, and/or proposals, written or verbal, relating to its subject matter.

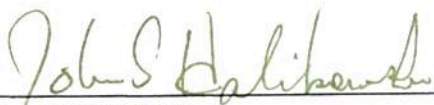
FOR THE FEDERAL BUREAU OF INVESTIGATION



Stephen L. Morris
Assistant Director
Criminal Justice Information
Services Division

2/17/2017
Date

FOR THE ARIZONA DEPARTMENT OF TRANSPORTATION



John Halikowski
Director
Arizona Department of Transportation

2-17-2017
Date